

## RULE V

### EMPLOYEE PERFORMANCE APPRAISALS

#### SECTION 5.1.1 PURPOSE

Regular appraisals of an employee's performance can assist in promoting a higher standard of service to the public. The appraisal is a systematic method of measuring, recording, communicating and encouraging the improvement of the work effectiveness and development of employees. (Amended 9/16/91)

#### SECTION 5.1.2 APPRAISALS

All employees appointed to permanent positions shall be given a written appraisal periodically on their individual performance. The appointing authority shall have the responsibility for preparation of the performance appraisal on a form and in accordance with procedures prescribed by the Director. (Amended 9/16/91)

#### SECTION 5.1.3 APPRAISAL CYCLE

Performance appraisals shall be completed at mid-probation, final probation and annually thereafter. Supplemental appraisals may be originated by the appointing authority. An employee who has received an overall rating below standard shall receive, if requested by the employee, a supplemental appraisal midway through the employee's next appraisal cycle. The supplemental appraisal must be dated from the close of the last rating period and will have the effect of adjusting the beginning date of the next performance appraisal. The subsequent performance appraisal(s) will cover the remainder of the reporting cycle. There must be only one performance appraisal for any given rating period. (Amended 9/16/91)

#### SECTION 5.1.4 APPRAISALS ON TERMINATING EMPLOYEES

A supplemental performance appraisal shall be completed when a permanent employee is terminated from a position, whether voluntarily or involuntarily and performance has significantly changed since the last performance appraisal. The appraisal shall be filed with the Director's office and a copy given to the employee prior to termination whenever possible. (Amended 9/16/91)

#### SECTION 5.1.5 ISSUING AND FILING APPRAISALS

All appraisals, as specified in Section 5.1.3, shall be issued to the employee within thirty (30) days from the close of the rating period and filed within an additional ten (10) days with the Department of Human Resources. This filing date may be extended until an appeal of an appraisal is resolved, as provided in Section 5.1.6.

A copy of the written performance appraisal shall be provided to the employee at the time the appraisal is presented to the employee with the rater's and employee's signatures.

An employee may appeal to his/her appointing authority when an appraisal has not been issued. The appointing authority shall provide said appraisal within five (5) days from the receipt of said appeal.

The employee shall have five (5) days in which to consider the performance appraisal before signing it. This time limit may be modified by mutual agreement of the parties. (Amended 9/16/91)

#### SECTION 5.1.6 EMPLOYEE APPEAL TO THE DEPARTMENT

The employee performance appraisal appeal process shall be:

**STEP 1.** The appointing authority shall appoint an unbiased appeal officer within seven (7) days of receipt of the appeal. At the employee's request a selection may be made by the employee from a list of three unbiased appeals officers provided by the appointing authority. A copy of the disputed appraisal and supporting documentation shall be given to the employee within five (5) days of the receipt of the appeal.

**STEP 2.** The appeal officer shall meet initially with the parties within thirty (30) days from the date of being appointed. If the appeal officer is the appointing authority, he/she shall issue to the employee a written final decision and a copy of the final performance appraisal within five (5) days after he/she has concluded meeting(s) with the parties.

If the appeal officer is other than the appointing authority, he/she shall prepare and submit a written report with findings and recommendations to the appointing authority no later than five (5) days after the appeal officer has concluded meeting(s) with the parties.

**STEP 3.** The appointing authority shall consider the appeal officer's findings and recommendations within five (5) days of its submittal. The appointing authority is not bound by and may modify the appeal officer's findings or recommendations.

a) In the event the appointing authority does not modify the appeal officer's findings and recommendations, the appeal officer's report and the appointing authority's written final decision and a copy of the final performance appraisal shall be issued to the employee within five (5) days of the submittal of the appeal officer's report to the appointing authority.

b) In the event the appointing authority modifies the appeal officer's findings or recommendations, the appeal officer's report and a written notice of the appointing authority's intended decision shall be served on the employee within five (5) days of the submittal of the appeal officer's report to the appointing authority.

**STEP 4.** The employee may respond in writing to the appointing authority's action relating to Step 3b above within five (5) days from the receipt of that decision. The response shall be limited to the information which is, by subject matter, related to the grounds for the appointing authority's action.

**STEP 5.** The appointing authority's final decision and a copy of the final performance appraisal shall be issued to the employee within ten (10) days from the employee's receipt of the intended decision.

The appointing authority's decision is not appealable to the Civil Service Commission.

The time limits in Section 5.1.6 may be modified by mutual agreement of the parties. At any and all steps in the process described in this section, employees may represent themselves or be represented by a representative of their choice. (Amended 9/16/91)

#### **SECTION 5.1.7 INVESTIGATION AND SEALING OF APPRAISALS**

The Commission may investigate charges that an appraisal was either improperly issued or that the appraisal violates these rules or the County's Appeal Officer Guidelines.

If the Commission finds such a violation, the Commission may order all copies of the appraisals and attached documents to be sealed, and the Commission also may order that a new appraisal be prepared.

The Commission is the only County Department with authority to seal performance appraisals.

In cases of department generated requests, the Commission will only seal appraisals with the mutual agreement of the department and employee. (Amended 9/16/91)

#### **SECTION 5.1.8. CHANGES TO APPRAISALS**

1. Once the appraisal has been issued to the employee, changes can only be made with the employee's knowledge. All changes on the appraisal must be initialed by the employee, rater and reviewer.
2. Changes to the appraisal as a result of the departmental appeal process can only be changed by the appointing authority. Also, changes to the appraisal as a result of the departmental appeal process will require the preparation of a new appraisal incorporating all changes and replacing the former appraisal. A copy of the new appraisal shall be given to the employee and filed with the Department of Human Resources. (Amended 9/16/91)